

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

11/17/2003 HTECKLU1 00000076 190065 10706635

01 FC:1001 770.00 DA

Adjustment date: 02/12/2004 SDIRETA1  
11/17/2003 HTECKLU1 00000076 190065 10706635  
01 FC:1001 770.00 CR

02/12/2004 SDIRETA1 00000002 190065 10706635

01 FC:2001 385.00 DA

PTO-1556  
(5/87)

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on February 3, 2004

Glenn P. Ladwig  
Glenn P. Ladwig, Patent Attorney

REQUEST FOR REFUND

Patent Application

Docket No. UF-221C1XCZ1

Serial No. 10/706,635

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OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No. : UF-221C1XCZ1  
Applicants : Richard W. Moyer, Yi Li  
Serial No. : 10/706,635  
Filed : November 12, 2003  
For : Materials and Methods for Delivery and Expression of Heterologous DNA  
in Vertebrate Cells

MS 16  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

REQUEST FOR REFUND

Sir:

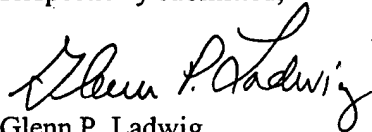
The applicants paid the Filing Fee for the above-identified patent application on November 12, 2003. The Fee Transmittal Form incorrectly indicated that the large entity Filing Fee of \$770.00 should be charged to Deposit Account No. 19-0065. A copy of the Fee Transmittal Form filed in the subject application is enclosed for reference. The applicants were subsequently informed that the application was actually a small entity. An Assertion of Small Entity Status under 37 C.F.R. §1.27(c) has been filed in this application (copy attached herewith).

The Monthly Statement of Deposit Account dated November 28, 2003 for Deposit Account No. 19-0065 indicates that the Filing Fee was charged as a large entity. A copy of the

pertinent portion of the November 28, 2003 Monthly Statement of Deposit Account 19-0065 is enclosed for reference.

The applicants respectfully submit that small entity status is correct in this application. Therefore, applicants should only have been charged the small entity Filing Fee of \$385.00. Accordingly, the applicants respectfully request a refund of \$385.00 (one half of the large entity Filing Fee) be credited to Deposit Account No. 19-0065.

Respectfully submitted,



Glenn P. Ladwig  
Patent Attorney  
Registration No. 46,853  
Phone No.: 352-375-8100  
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Address: Saliwanchik, Lloyd & Saliwanchik  
A Professional Association  
2421 N.W. 41<sup>st</sup> Street, Suite A-1  
Gainesville, FL 32606-6669

GPL/mv

Attachments: Copy of the Fee Transmittal Form  
Copy of Assertion of Small Entity Status under 37 C.F.R. §1.27(c)  
Copy of Monthly Statement of Deposit Account dated 11-28-03 (control no. 134)

US Patent & Trademark Office  
2004-11-28  
10:40 AM

DOCKET NO. UF-221C1XCZ1

**FEE TRANSMITTAL FORM**

MS PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

700 570 4000

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**COPY**

Sir:

Transmitted herewith for filing is the patent application of:

Inventors: Richard W. Moyer, Yi Li

Entitled: Materials and Methods for Delivery and Expression of Heterologous DNA in Vertebrate Cells

- ☒ A Utility Patent Application Transmittal Form accompanies this Fee Transmittal Form.
- ☒ The Filing Fee is calculated below:

CLAIMS AS FILED				
	Number filed	Number Extra	Rate	Fee
Basic Fee			\$770.00	\$770.00
Total Claims	16 - 20 =	0	x \$9	\$0.00
Independent Claims	3 - 3 =	0	x \$43	\$0.00
Presentation of Multiple Dependent Claim(s) (\$140)				\$ 0.00
			Total Filing Fee	\$770.00

- ☒ Please charge \$770.00 to Deposit Account No. 19-0065. Two copies of this sheet are enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional filing fees which may be required, or credit any overpayment, to Deposit Account No. 19-0065. A duplicate copy of this sheet is enclosed.
- ☒ This application is being mailed by Express Mail under 37 CFR 1.10 and the required certificate appears below.

November 12, 2003  
Date

*Glen P. Ludwig*  
Attorney of Record

**CERTIFICATE OF MAILING BY EXPRESS MAIL (37 CFR 1.10)**

Express Mail No.: ER05477431BUS Date of Deposit: November 12, 2003

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to MS Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Tanya Lopez  
Name of person mailing paper

*[Signature]*  
Signature

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on February 3, 2004

Glenn P. Ladwig  
Glenn P. Ladwig, Patent Attorney

ASSERTION OF SMALL ENTITY STATUS  
UNDER 37 C.F.R. §1.27(c)

Examining Group 1632

Patent Application

Docket No. UF-221C1XCZ1

Serial No. 10/706,635

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner : (Not yet assigned)  
Art Unit : 1632  
Applicants : Richard W. Moyer, Yi Li  
Serial No. : 10/706,635  
Filed : November 12, 2003  
Confirm. No. : 8304  
For : Materials and Methods for Delivery and Expression of Heterologous DNA  
in Vertebrate Cells

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

ASSERTION OF SMALL ENTITY STATUS UNDER 37 C.F.R. §1.27(c)

Sir:

The applicant asserts that the applicant is a small entity as defined in 37 C.F.R. §1.27(a), and that small entity status is entitled to be asserted for the above-identified application.

Respectfully submitted,

Glenn P. Ladwig

Glenn P. Ladwig

Patent Attorney

Registration No. 46,853

Phone No.: 352-375-8100

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SALIWANCHIK, LLOYD & SALIWANCHIK

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Account No.	190065
Date	11-28-03
Page	3

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DATE POSTED			CONTROL NO.	DESCRIPTION (Serial, Patent, TM, Order)	DOCKET NO.	FEE CODE	CHARGES/ CREDITS	BALANCE
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11	17	03	134	10706635	UF-221C1XCZ1	1001	770.00	
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